



# **STATE OF INDIANA**

## **Request for Proposal 16-050**

**INDIANA DEPARTMENT OF ADMINISTRATION**

**On Behalf Of  
INDIANA DEPARTMENT OF CORRECTION**

**Solicitation For:  
AUDITS OF IDOC FACILITIES FOR COMPLIANCE WITH THE  
PRISON RAPE ELIMINATION ACT**

**Response Due Date: January 11, 2016**

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Indiana Department of Administration  
Procurement Division  
402 W. Washington St., Room W468  
Indianapolis, Indiana 46204

SECTION ONE  
**GENERAL INFORMATION AND REQUESTED PRODUCTS/SERVICES**

**1.1 INTRODUCTION**

In accordance with Indiana statute, including IC 5-22-9, the Indiana Department of Administration (IDOA), acting on behalf of the Indiana Department of Correction, is seeking auditing services of by auditor(s) certified by the Department of Justice (DOJ) to audit multiple Indiana Correctional Facilities for compliance with the Federal Prison Rape Elimination Act (PREA) Standards, for the Indiana Department of Correction (IDOC). It is the intent of IDOA to solicit responses to this Request for Proposals (RFP) in accordance with the statement of work, proposal preparation section, and specifications contained in this document. This RFP is being posted to the IDOA website (<http://www.IN.gov/idoa/2354.htm>) for downloading. A nominal fee will be charged for providing hard copies. Neither this RFP nor any response (proposal) submitted hereto are to be construed as a legal offer.

**1.2 DEFINITIONS AND ABBREVIATIONS**

Following are explanations of terms and abbreviations appearing throughout this RFP. Other special terms may be used in the RFP, but they are more localized and defined where they appear, rather than in the following list.

IAC	Indiana Administrative Code
IC	Indiana Code
IDOC	Indiana Department of Correction
CUF	Commercially Useful Function – A business function that supports the scope of this solicitation
DOJ	Department of Justice
Full Time Equivalent (FTE)	The State defines FTE as a measurement of an employee's productivity when executing the scope of work in this RFP for a specific project or contract. An FTE of 1 would mean that there is one worker fully engaged on a project. If there are two employees each spending 1/2 of their working time on a project that would also equal 1 FTE
Implementation	The successful implementation of PREA auditing services at the Indiana Department of Correction facilities as specified in the contract resulting from this RFP

Installation	The delivery and physical setup of products or services requested in this RFP
Other Governmental Body	<p>An agency, a board, a branch, a bureau, a commission, a council, a department, an institution, an office, or another establishment of any of the following:</p> <ol style="list-style-type: none"> <li>1) The judicial branch</li> <li>2) The legislative branch</li> <li>3) A political subdivision (includes towns, cities, local governments, etc.)</li> <li>4) A state educational institution</li> </ol>
PREA	Prison Rape Elimination Act
Products	Tangible goods or manufactured items as specified in this RFP
Proposal	An offer as defined in IC 5-22-2-17
Respondent	An offeror as defined in IC 5-22-2-18. The State will not consider a proposal responsive if two or more offerors submit a joint or combined proposal. One entity or individual must be clearly identified as the respondent who will be ultimately responsible for performance of the contract
Services	Work to be performed as specified in this RFP
State	The State of Indiana
State Agency	As defined in IC 4-13-1, "state agency" means an authority, board, branch, commission, committee, department, division, or other instrumentality of the executive, including the administrative, department of state government
Total Bid Amount	The amount that the respondent proposes on Attachment D that represents their total, all-inclusive price.
Vendor	Any successful respondent selected as a result of the procurement process to deliver the products or services requested by this RFP

### 1.3 PURPOSE OF THE RFP

The purpose of this RFP is to select one or more vendors that can satisfy the State's need for auditing services by auditor(s) certified by the Department of Justice (DOJ) to audit multiple Indiana Correctional Facilities for compliance with the Federal Prison Rape Elimination Act (PREA) Standards, for the Indiana Department of Correction. The audits require an onsite visit to complete the audit as defined by the DOJ. The results would include a full audit and any corrective action plans (CAP) as necessary and follow-ups as needed. It is the intent of the Indiana Department of Correction to contract with one or more vendors that provides quality PREA auditing services for the IDOC.

### 1.4 SUMMARY SCOPE OF WORK

The State of Indiana is complying with the Federal Prison Rape Elimination Act (PREA) Standards which include completing PREA Audits of its correctional facilities. The PREA Audit is defined as a formal, uniform, and objective measure of the facility's compliance with the PREA Standards. Each facility audit must be conducted using the audit instrument as developed by US DOJ. The PREA Coordinator shall complete a pre-audit questionnaire. The auditor must complete the follow up, conduct on-site interviews, document reviews and inspections, work with the facility to develop a corrective action plan, if needed, and participate in the implementation of such plan, if needed, and provide all PREA-required audit reports. The auditor must develop and issue a full and final audit report as required by PREA. The auditor shall comply with the requirements set forth in the PREA auditing standards provided in 28 C.F.R. 115.401-405 (2013). PREA Audits will be conducted using the Audit Instrument as approved and finalized by the U.S. Department of Justice (US DOJ).

These standards require the State's facilities to be audited once every three years. This request is for a Department of Justice (DOJ) certified auditor(s) to audit multiple Indiana Correctional Facilities on compliance with PREA Standards. The audits may include juvenile correctional facilities.

The audits require an onsite visit to complete the audit as defined by the DOJ. The results would include a full audit and any corrective action plans (CAP) as necessary and follow-ups as needed.

The Indiana Department of Correction currently has 20 adult facilities and 5 juvenile facilities. All facilities are located within the State of Indiana. Two of the facilities, New Castle and Heritage Trail Correctional Facility, are managed by a contractor and will provide their own PREA audits. The IDOC has combined the Henryville facility with the Branchville facility and the Chain O'Lakes facility with Miami facility for audit purposes as these former facilities are essentially satellite facilities of the larger facilities. Also, the Logansport Intake facility is considered the same facility as Logansport Treatment so they will also count as one juvenile facility for this RFP.

The State is in the process of conducting some facility audits through agreements with other states, so not all facilities listed may need to eventually be audited. The audits will therefore be conducted on an as needed basis, facility by facility as agreed by the IDOC and the auditor, after a request by the IDOC. The State understands that some auditors may be certified or have the expertise to audit only adult facilities and some may be certified or have the expertise to audit only juvenile facilities; accordingly, the State will accept a proposals to (1) audit only the adult facilities; to (2) audit only the juvenile facilities; or to (3) audit both the juvenile and adult facilities. **Please indicate in your transmittal letter which category or categories of facilities you are including in your proposal.** Please note that respondents must submit pricing for all facilities in each category it bids in order for its proposal to be deemed responsive. The State reserves the right to award multiple contracts resulting from this RFP in order to ensure all facilities are audited. In determining its cost proposal, the respondents should anticipate that if awarded the contract resulting from this RFP, it may be asked to audit anywhere from one to all of the adult facilities, and depending on its certification and experience to do so, audit anywhere from one to all of the juvenile facilities. Therefore, the respondent should not expect that it will be asked to audit every IDOC facility.

Indiana Department of Correction				
Total Beds as of August 1, 2015				
Adult Facilities	Location	Gender	Custody Level	Pop.
Branchville Correctional Facility	Tell City	Male	Medium	1399
Chain O' Lakes Correctional Facility	Albion	Male	Low	132
Correctional Industrial Facility	Pendleton	Male	Medium	1392
Edinburgh	Edinburgh	Male	Low	270
Henryville Correctional Facility	Henryville	Male	Low	145
Indiana State Prison	Michigan City	Male	High	2307
Indiana Women's Prison	Indianapolis	Female	Medium	612
Indianapolis Re-Entry Education	Indianapolis	Male	Low	355
Madison Correctional Facility	Madison	Female	Low	621
Miami	Bunker Hill	Male	High/Medium/Low	3071
New Castle	New Castle	Male	High/Medium/Low	3172
Pendleton Correctional Facility	Pendleton	Male	High/Medium/Low	1583
Plainfield	Plainfield	Male	Medium	1680
Putnamville	Putnamville	Male	Medium	2384
Reception Diagnostic Center	Plainfield	Male	High	517
Rockville Correctional Facility	Rockville	Female	Medium	1196
Heritage Trail Correctional Facility	Plainfield	Male	Low	863
South Bend Work Release	South Bend	Male	Low	150
Wabash Valley	Carlisle	Male	High/Medium/Low	1981
Westville	Westville	Male	High/Medium/Low	2912
<b>TOTAL ADULT BEDS</b>				<b>26742</b>

Juvenile Facilities	Location	Gender	Custody Level	Beds
Logansport intake Juvenile Facility	Logansport	Male	High	32
Madison Juvenile Correctional	Madison	Female	High	43
Logansport Treatment (North Central) Juvenile	Logansport	Male	High	120
Pendleton Juvenile Correctional Facility	Pendleton	Male	High	178
Summit Boot Camp Juvenile Facility	LaPorte	Male	High	28
<b>TOTAL JUVENILE BEDS</b>				<b>401</b>

Some Correctional facilities have more housing units than others. Generally, the IDOC considers a housing unit as a unit that has separate security doors and separate dedicated staff. The following is a list of the total number of housing units in each facility based on this definition. The IDOC will allow an additional cost to be charged for each additional unit over 10 units (see Cost Proposal).

Branchville Correctional Facility	7
Chain O'Lakes Correctional Facility	1
Correctional Industry Facility	7
Edinburgh Correctional Facility	4
Henryville Correctional Facility	1
Indiana State Prison	15
Indiana Women's Prison	8
IREF	10
Madison Correctional Facility	10
Miami Correctional Facility	16
Pendleton Correctional Facility	15
Plainfield Correctional Facility	19
Putnamville Correctional Facility	19
Reception Diagnostic Center-Men	2
Rockville Correctional Facility	6
South Bend Re-Entry	1
Wabash Valley Correctional Facility	12
Westville Correctional Facility	38
Camp Summit Juvenile Facility	1
Logansport Juvenile Intake Unit	1
Logansport Juvenile Treatment	2
Pendleton Juvenile Correctional Facility	5
Madison Juvenile Correctional Facility	1

The goal of the audits is to assess Indiana Department of Correction for compliance with the Federal PREA Standards. If areas of improvement are found, the agency would work with the

auditor on a corrective action plan needed to obtain full compliance.

**Deliverables:**

The following are a list of deliverables the respondent would be asked to complete for each facility audited:

1. Full audit by a Department of Justice (DOJ) certified auditor, certified to conduct adult facility and/or juvenile facility audits;
2. Provide the mandatory facility posting prior to onsite visit;
3. Onsite visit as mandated by the audit standards;
4. Final report within the time frame outlined by the DOJ;
5. Corrective action plan as needed;
6. Follow-up visit, as needed, to assess implementation of the corrective action plan with PREA Standards; and
7. Compliance with all requirements for PREA audits as required by the DOJ.

The auditor will work closely with the agency's PREA coordinator and facility PREA compliance managers in scheduling audits and coordinating the tasks needed to complete the audit.

Respondents are encouraged to propose additional tasks or activities if they will improve the results of the project. These items should be separated from the required items on the cost proposal.

## 1.5 RFP OUTLINE

The outline of this RFP document is described below:

Section	Description
Section 1 – General Information and Requested Products or Services	This section provides an overview of the RFP, general timelines for the process, and a summary of the products/services being solicited by the State/Agency via this RFP
Section 2 – Proposal Preparation Instruction	This section provides instructions on the format and content of the RFP including a Letter of Transmittal, Business Proposal, Technical Proposal, and a Cost Proposal
Section 3 – Proposal Evaluation Criteria	This sections discusses the evaluation criteria to be used to evaluate respondents' proposals
Attachment A	M/WBE Participation Plan Form

Attachment B	Sample Contract
Attachment C	Cost Proposal Template
Attachment D	Business Proposal Template
Attachment E	Technical Proposal Template
Attachment F	Q&A Template

## 1.6 QUESTION/INQUIRY PROCESS

All questions/inquiries regarding this RFP must be submitted in writing by the deadline of **3:00 p.m. Eastern Time on December 23, 2015**. Questions/Inquiries must be submitted in Attachment F, Q&A Template, via email to [gmoorman@idoa.IN.gov](mailto:gmoorman@idoa.IN.gov) and must be received by the time and date indicated above.

Following the question/inquiry due date, Procurement Division personnel will compile a list of the questions/inquiries submitted by all Respondents. The responses will be posted to the IDOA website according to the RFP timetable established in Section 1.24. The question/inquiry and answer link will become active after responses to all questions have been compiled. Only answers posted on the IDOA website will be considered official and valid by the State. No Respondent shall rely upon, take any action, or make any decision based upon any verbal communication with any State employee.

Inquiries are not to be directed to any staff member of the Indiana Department of Correction. Such action may disqualify Respondent from further consideration for a contract resulting from this RFP.

If it becomes necessary to revise any part of this RFP, or if additional information is necessary for a clearer interpretation of provisions of this RFP prior to the due date for proposals, an addendum will be posted on the IDOA website. If such addenda issuance is necessary, the Procurement Division may extend the due date and time of proposals to accommodate such additional information requirements, if required.

## 1.7 DUE DATE FOR PROPOSALS

All proposals must be received at the address below by the Procurement Division no later than **3:00 p.m. Eastern Time on January 11, 2016**. Each Respondent must submit **one (1) original CD-ROM (marked "Original") and six (6) complete copies on CD-ROM** of the proposal, including the Transmittal Letter and other related documentation as required in this RFP. The original CD-ROM will be considered the official response in evaluating responses for scoring and protest resolution. The respondent's proposal response on this CD may be posted on the IDOA website, (<http://www.in.gov/idoa/2462.htm>) if recommended for selection. Each copy of the proposal must follow the format indicated in Section Two of this document. Unnecessarily elaborate



brochures or other presentations, beyond those necessary to present a complete and effective proposal, are not desired. All proposals must be addressed to:

Indiana Department of Administration  
Procurement Division  
402 West Washington Street, Room W468  
Indianapolis, IN 46204

**If you hand-deliver solicitation responses:**

To facilitate weapons restrictions at Indiana Government Center North and Indiana Government Center South, as of **July 21, 2008**, the public must enter IGC buildings through a designated public entrance. The public entrance to Indiana Government Center South is located at 302 W. Washington St. (the eastern-most Washington St. entrance). This entrance will be equipped with metal detectors and screening devices monitored by Indiana State Police Capitol Police.

Passing through the public entrance may take some time. Please be sure to take this information into consideration if your company plans to submit a solicitation response in person.

**If you ship or mail solicitation responses:** United States Postal Express and Certified Mail are both delivered to the Government Center Central Mailroom, and not directly to the Procurement Division. It is the responsibility of the Respondent to make sure that solicitation responses are received by the Procurement Division at the Department of Administration's reception desk on or before the designated time and date. Late submissions will not be accepted. The Department of Administration, Procurement Division clock is the official time for all solicitation submissions.

Regardless of delivery method, all proposal packages must be **sealed** and clearly marked with the RFP number, due date, and time due. IDOA will not accept any unsealed bids. Any proposal received by the Department of Administration, Procurement Division after the due date and time will not be considered. Any late proposals will be returned, unopened, to the Respondent upon request. All rejected proposals not claimed within 30 days of the proposal due date will be destroyed.

No more than one proposal per Respondent may be submitted.

The State accepts no obligations for costs incurred by Respondents in anticipation of being awarded a contract.

## 1.8 PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held on **December 21, 2015 at 10:00AM** in Indiana Government Center South Conference Center Room 14. At this conference, potential respondents may ask questions about the RFP and the RFP process. Respondents are reminded that no answers issued verbally at the conference are binding on the State and any information

provided at the conference, unless it is later issued in writing, also is not binding on the State.

#### 1.9 MODIFICATION OR WITHDRAWAL OF OFFERS

Modifications to responses to this RFP may only be made in the manner and format consistent with the submittal of the original response, acceptable to IDOA and clearly identified as a modification.

The Respondent's authorized representative may withdraw the proposal, in person, prior to the due date. Proper documentation and identification will be required before the Procurement Division will release the withdrawn proposal. The authorized representative will be required to sign a receipt for the withdrawn proposal.

Modification to, or withdrawal of, a proposal received by the Procurement Division after the exact hour and date specified for receipt of proposals will not be considered.

#### 1.10 PRICING

Pricing on this RFP must be firm and remain open for a period of not less than 180 days from the proposal due date. Any attempt to manipulate the format of the document, attach caveats to pricing, or submit pricing that deviates from the current format will put your proposal at risk.

Please refer to the Cost Proposal sub-section under Section 2 for a detailed discussion of the proposal pricing format and requirements.

#### 1.11 PROPOSAL CLARIFICATIONS AND DISCUSSIONS, AND CONTRACT DISCUSSIONS

The State reserves the right to request clarifications on proposals submitted to the State. The State also reserves the right to conduct proposal discussions, either oral or written, with Respondents. These discussions could include request for additional information, request for cost or technical proposal revision, etc. Additionally, in conducting discussions, the State may use information derived from proposals submitted by competing respondents only if the identity of the respondent providing the information is not disclosed to others. The State will provide equivalent information to all respondents which have been chosen for discussions. Discussions, along with negotiations with responsible respondents may be conducted for any appropriate purpose.

The Procurement Division will schedule all discussions. Any information gathered through oral discussions must be confirmed in writing.

A sample contract is provided in Attachment B. Any requested changes to the sample contract must be submitted with your response (See Section 2.3.5 for details). The State reserves the right to reject any of these requested changes. It is the State's expectation that any material elements of the contract will be substantially finalized prior to contract award.

#### 1.12 BEST AND FINAL OFFER

The State may request best and final offers from those Respondents determined by the State to be reasonably viable for contract award. However, the State reserves the right to award a contract on the basis of initial proposals received. Therefore, each proposal should contain the Respondent's best terms from a price and technical standpoint.

Following evaluation of the best and final offers, the State may select for final contract negotiations/execution the offers that are most advantageous to the State, considering cost and the evaluation criteria in this RFP.

#### 1.13 REFERENCE SITE VISITS

The State may request a site visit to a Respondent's working support center to aid in the evaluation of the Respondent's proposal. Site visits, if required will be discussed in the technical proposal.

#### 1.14 TYPE AND TERM OF CONTRACT

The State intends to sign a contract with one or more Respondent(s) to fulfill the requirements in this RFP.

The term of the contract shall be for a period of one (1) year from the date of contract execution. There may be three one-year renewals for a total of four (4) years at the State's option.

#### 1.15 CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 *et seq.*, and, after the contract award, the entire RFP file may be viewed and copied by any member of the public, including news agencies and competitors. Respondents claiming a statutory exception to the APRA must indicate so in the Transmittal Letter. Confidential Information must also be clearly marked in a separate folder on any included CD-ROM. The Respondent must also specify which statutory exception of APRA that applies. The State reserves the right to make determinations of confidentiality. If the Respondent does not identify the statutory exception, the Procurement Division will not consider the submission confidential. If the State does not agree that the information designated is confidential under one of the disclosure exceptions to APRA, it may seek the opinion of the Public Access Counselor. Prices are not confidential information.

#### 1.16 TAXES

Proposals should not include any tax from which the State is exempt.

#### 1.17 PROCUREMENT DIVISION REGISTRATION

In order to receive an award, you must be registered as a bidder with the Department of Administration, Procurement Division. Therefore, to ensure there is no delay in the award all Respondents are strongly encouraged to register prior to submission of their response. Respondents should go to [www.in.gov/idoa/2464.htm](http://www.in.gov/idoa/2464.htm).

#### 1.18 SECRETARY OF STATE REGISTRATION

If awarded the contract, the Respondent will be required to register, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. Information concerning registration with the Secretary of State may be obtained by contacting:

Secretary of State of Indiana  
Corporation Division  
402 West Washington Street, E018  
Indianapolis, IN 46204  
(317) 232-6576  
[www.in.gov/sos](http://www.in.gov/sos)

#### 1.19 COMPLIANCE CERTIFICATION

Responses to this RFP serve as a representation that it has no current or outstanding criminal, civil, or enforcement actions initiated by the State, and it agrees that it will immediately notify the State of any such actions. The Respondent also certifies that neither it nor its principals are presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State. The Respondent agrees that the State may confirm, at any time, that no such liabilities exist, and, if such liabilities are discovered, that State may bar the Respondent from contracting with the State, cancel existing contracts, withhold payments to setoff such obligations, and withhold further payments or purchases until the entity is current in its payments on its liability to the State and has submitted proof of such payment to the State.

#### 1.20 EQUAL OPPORTUNITY COMMITMENT

Pursuant to IC 4-13-16.5 and in accordance with 25 IAC 5, it has been determined that there is a reasonable expectation of minority and woman business enterprises subcontracting opportunities on a contract awarded under this RFP. Therefore a contract goal of 8% for

Minority Business Enterprises and 8% for Woman Business Enterprises have been established and all respondents will be expected to comply with the regulation set forth in 25 IAC 5.

Failure to address these requirements may impact the evaluation of your proposal.

#### 1.21 MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR COMMITMENT

**In accordance with 25 IAC 5-5, the respondent is expected to submit with its proposal a MWBE Subcontractor Commitment Form for each category (Adult or Juvenile) the respondent bids. If a proposal is submitted for both categories, two (2) separate MWBE forms must be submitted with the proposal.** The Form must show that there are, participating in the proposed contract, Minority Business Enterprises (MBE) and Women Business Enterprises (WBE) listed in the Minority and Women's Business Enterprises Division (MWBED) directory of certified firms located at <http://www.in.gov/idoa/2352.htm>.

If participation is met through use of vendors who supply products and/or services directly to the Respondent, the Respondent must provide a description of products and/or services provided that are directly related to this proposal and the cost of direct supplies for this proposal. Respondents must complete the Subcontractor Commitment Form in its entirety.

Failure to meet these goals will affect the evaluation of your Proposal. The Department reserves the right to verify all information included on the MWBE Subcontractor Commitment Form.

Respondents are encouraged to contact and work with MWBED at 317-232-3061 to design a subcontractor commitment to meet established goals as referenced in this solicitation.

**Prime Contractors must ensure that the proposed subcontractors meet the following criteria:**

- Must be listed on the IDOA Directory of Certified Firms, on or before the proposal due date
- Each firm may only serve as one classification – MBE, WBE, or IVBE (see section 1.21)
- A Prime Contractor who is an MBE or WBE must meet subcontractor goals by using other listed certified firms. Certified Prime Contractors cannot count their own workforce or companies to meet this requirement.
- **Must serve a Commercially Useful Function (CUF). The firm must serve a value-added purpose on the engagement, as confirmed by the State.**
- Must provide goods or service only in the industry area for which it is certified as listed in the directory at <http://www.in.gov/idoa/2352.htm>
- Must be used to provide the goods or services specific to the contract
- National Diversity Plans are generally not acceptable

## MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR LETTER OF COMMITMENT

A signed letter(s), on company letterhead, from the MBE and/or WBE must accompany the MWBE Subcontractor Commitment Form. Each letter shall state and will serve as acknowledgement from the MBE and/or WBE of its subcontract amount, subcontract amount as a percentage of the Total Bid Amount (as listed in Attachment C, Cost Proposal), a description of products and/or services to be provided on this project, and approximate date the subcontractor will perform work on this contract. The State reserves the right to deny evaluation points if the letter(s) is not attached. The State may deny evaluation points if the letter(s) is not attached, not on company letterhead, not signed and/or does not reference and match the subcontract amount, the subcontract amount as a percentage of the Total Bid Amount, and the anticipated period that the Subcontractor will perform work for this solicitation.

By submission of the Proposal, the Respondent acknowledges and agrees to be bound by the regulatory processes involving the State's M/WBE Program. Questions involving the regulations governing the MWBE Subcontractor Commitment Form should be directed to: Minority and Women's Business Enterprises Division at (317) 232-3061 or <http://www.in.gov/idoa/2352.htm>.

### 1.22 AMERICANS WITH DISABILITIES ACT

The Respondent specifically agrees to comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 *et seq.* and 47 U.S.C. 225).

### 1.23 SUMMARY OF MILESTONES

The following timeline is only an illustration of the RFP process. The dates associated with each step are not to be considered binding. Due to the unpredictable nature of the evaluation period, these dates are commonly subject to change. At the conclusion of the evaluation process, all Respondents will be informed of the evaluation team's findings.

#### ***Key RFP Dates***

<b>Activity</b>	<b>Date</b>
Issue of RFP	December 4, 2015
Pre-Proposal Conference	December 21, 2015
Deadline to Submit Written Questions	December 23, 2015
Response to Written Questions/RFP Amendments	December 30, 2015
Submission of Proposals	January 11, 2016

## 1.24 CONFLICT OF INTEREST

Any person, firm or entity that assisted with and/or participated in the preparation of this RFP document is prohibited from submitting a proposal to this specific RFP. For the purposes of this RFP “person” means a state officer, employee, special state appointee, or any individual or entity working with or advising the State or involved in the preparation of this RFP proposal. This prohibition would also apply to an entity who hires, within a one-year period prior to the publication of this RFP, a person that assisted with and/or participated in the preparation of this RFP.

## **SECTION TWO PROPOSAL PREPARATION INSTRUCTIONS**

### 2.1 GENERAL

To facilitate the timely evaluation of proposals, a standard format for proposal submission has been developed and is described in this section. All Respondents are required to format their proposals in a manner consistent with the guidelines described below:

- Each item must be addressed in the Respondent’s proposal.
- The Transmittal Letter must be in the form of a letter. The business and technical proposals must be organized under the specific section titles as listed below.
- The electronic copies of the proposal submitted via CD-ROM should be organized to mirror the sections below and the attachments.
- Each item, i.e. Transmittal Letter, Business Proposal, Technical Proposal, Cost Proposal, etc, must be separate stand alone electronic files on the CD-ROM. Please do not submit your proposal as one large file.
- Whenever possible, please submit all attachments in their original format.
- Confidential Information must also be clearly marked in a separate folder/file on any included CD-ROM.

### 2.2 TRANSMITTAL LETTER

The Transmittal Letter must address the following topics except those specifically identified as “optional.”

#### 2.2.1 Agreement with Requirement in listed in Section 1

The Respondent must explicitly acknowledge understanding of the general information presented in Section 1 and agreement with any requirements/conditions listed in Section 1.

#### 2.2.2 Summary of Ability and Desire to Supply the Required Products or Services

The Transmittal Letter must briefly summarize the Respondent's ability to supply the requested products and/or services that meet the requirements defined in Section 2.4 of this RFP. The letter must also contain a statement indicating the Respondent's willingness to provide the requested products and/or services subject to the terms and conditions set forth in the RFP including, but not limited to, the State's mandatory contract clauses.

#### 2.2.3 Signature of Authorized Representative

A person authorized to commit the Respondent to its representations and who can certify that the information offered in the proposal meets all general conditions including the information requested in Section 2.3.4, must sign the Transmittal Letter. **In the Transmittal Letter, please indicate the principal contact for the proposal along with an address, telephone and fax number as well as an e-mail address, if that contact is different than the individual authorized for signature.**

#### 2.2.4 Respondent Notification

Unless otherwise indicated in the Transmittal Letter, Respondents will be notified via e-mail.

It is the Respondent's obligation to notify the Procurement Division of any changes in any address that may have occurred since the origination of this solicitation. The Procurement Division will not be held responsible for incorrect vendor/contractor addresses.

#### 2.2.5 Confidential Information

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 *et seq.* (see section 1.16).

Provide the following information:

- List all documents where claiming a statutory exemption to the APRA;
- Specify which statutory exception of APRA that applies for each document;
- Provide a description explaining the manner in which the statutory exception to the APRA applies for each document.

#### 2.2.6 Other Information

This item is optional. Any other information the Respondent may wish to briefly summarize will be acceptable.



## 2.3 BUSINESS PROPOSAL

The Business Proposal must address the following topics except those specifically identified as “optional.” **The Business Proposal Template is Attachment D.**

### 2.3.1 General (optional)

This section of the business proposal may be used to introduce or summarize any information the Respondent deems relevant or important to the State’s successful acquisition of the products and/or services requested in this RFP.

### 2.3.2 Respondent’s Company Structure

The legal form of the Respondent’s business organization, the state in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization are to be included in this section. If the organization includes more than one product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization.

### 2.3.3 Company Financial Information

This section must include the Respondent’s financial statement, including an income statement and balance sheet, for each of the two most recently completed fiscal years. The financial statements must demonstrate the Respondent’s financial stability. If the financial statements being provided by the Respondent are those of a parent or holding company, additional financial information should be provided for the entity/organization directly responding to this RFP.

### 2.3.4 Integrity of Company Structure and Financial Reporting

This section must include a statement indicating that the CEO and/or CFO has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The particular areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization assures board integrity, and the separation of audit functions and consulting services. The State will consider the information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

The Sarbanes Oxley Act of 2002, H.R. 3763, is NOT directly applicable to this procurement; however, its goals and objectives may be used as a guide in the determination of corporate responsibility for financial reports.

#### 2.3.5 Contract Terms/Clauses

A sample contract that the state expects to execute with the successful Respondent(s) is provided in Attachment B. This contract contains both mandatory and non-mandatory clauses. Mandatory clauses are listed below and are non-negotiable. Other clauses are highly desirable. It is the State's expectation that the final contract will be substantially similar to the sample contract provided in Attachment B.

In your Transmittal Letter please indicate acceptance of these mandatory contract terms (see section 2.2.2). In this section please review the rest of the contract and indicate your acceptance of the non-mandatory contract clauses. If a non-mandatory clause is not acceptable as worded, suggest specific alternative wording to address issues raised by the specific clause. If you require additional contract terms please include them in this section. To reiterate it's the State's strong desire to not deviate from the contract provided in the attachment and as such the State reserves the right to reject any and all of these requested changes.

The mandatory contract terms are as follows:

- Duties of Contractor, Rate of Pay, and Term of Contract
- Authority to Bind Contractor
- Compliance with Laws
- Drug-Free Workplace Provision and Certification
- Employment Eligibility
- Funding Cancellation
- Governing Laws
- Indemnification
- Information Technology
- Non-Discrimination Clause
- Ownership of Documents and Materials
- Payments
- Penalties/Interest/Attorney's Fees
- Termination for Convenience
- Non-Collusion and Acceptance

Any or all portions of this RFP and any or all portions of the Respondents response may be incorporated as part of the final contract

### 2.3.6 References

The Respondent must include a list of at least one clients for whom the Respondent has provided products and/or services that are the same or similar to those products and/or services requested in this RFP. These services may include supervision or management of a correctional facility or agency at an executive level. Information provided should include the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information.

### 2.3.7 Registration to do Business

#### Secretary of State

If awarded the contract, the Respondent will be required to be registered, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. The Respondent must indicate the status of registration, if applicable, in this section of the proposal.

#### Department of Administration, Procurement Division

Additionally, respondents must be registered with the IDOA. This can be accomplished on-line at <http://www.in.gov/idoa/2464.htm>.

The IDOA Procurement Division maintains two databases of vendor information. The Bidder registration database is set up for vendors to register if you are interested in selling a product or service to the State of Indiana. Respondents may register on-line at no cost to become a Bidder with the State of Indiana. To complete the on-line Bidder registration, go to <http://www.in.gov/idoa/2464.htm>. The Bidder registration offers email notification of upcoming solicitation opportunities, corresponding to the Bidder's area(s) of interest, selected during the registration process. Respondents do need to be registered to bid on and receive email notifications. Completion of the Bidder registration will result in your name being added to the Bidder's Database, for email notification. The Bidder registration requires some general business information, an indication of the types of goods and services you can offer the State of Indiana, and locations(s) within the state that you can supply or service. There is no fee to be placed in Procurement Division's Bidder Database. To receive an award, you must be registered as a bidder. Problems or questions concerning the registration process or the registration form can be e-mailed to Amey Redding, Vendor Registration Coordinator, [aredding@idoa.in.gov](mailto:aredding@idoa.in.gov), or you may reach her by phone at (317) 234-3542.

### 2.3.8 Authorizing Document

Respondent personnel signing the Transmittal Letter of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement.

### 2.3.9 Subcontractors

The Respondent is responsible for the performance of any obligations that may result from this RFP, and shall not be relieved by the non-performance of any subcontractor. Any Respondent's proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal.

Any subcontracts entered into by the Respondent must be in compliance with all State statutes, and will be subject to the provisions thereof. For each portion of the proposed products or services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience.

The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State's evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.

The Respondent must list any subcontractor's name, address and the state in which formed that are proposed to be used in providing the required products or services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, the subcontractor's form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFP or in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority or Women

Owned Business under IC 4-13-16.5-1. See Section 1.21 and Attachment A for Minority and Women Business information.

#### 2.3.10 General Information

Each Respondent must enter your company's general information including contact information.

#### 2.3.11 Experience Serving State Governments

Each Respondent is asked to please provide a brief description of your company's experience in serving state governments and/or quasi-governmental accounts.

#### 2.3.12 Experience Serving Similar Clients

Each Respondent is asked to please describe your company's experience in serving clients of a similar size to the State that also had a similar scope. Please provide specific clients and detailed examples.

### 2.4 TECHNICAL PROPOSAL

#### **The Technical Proposal Template is Attachment E.**

The Technical Proposal must be divided into the sections as described in the Technical Proposal Template. Every point made in each section must be addressed in the order given. The same outline numbers must be used in the response. RFP language should not be repeated within the response. Where appropriate, supporting documentation may be referenced by a page and paragraph number. However, when this is done, the body of the technical proposal must contain a meaningful summary of the referenced material. The referenced document must be included as an appendix to the technical proposal with referenced sections clearly marked. If there are multiple references or multiple documents, these must be listed and organized for ease of use by the State.

### 2.5 COST PROPOSAL

#### **The Cost Proposal Template is Attachment C.**

The Cost Proposal must be submitted in the original format. Any attempt to manipulate the format of the Cost Proposal document, attach caveats to pricing, or submit pricing that deviates from the current format will put your proposal at risk.

In developing its cost per facility, the Respondent should note that the IDOC is in the process of

conducting some facility audits through agreements with other states, so not all facilities may eventually need to be audited. The audits will therefore be conducted on an as needed basis, facility by facility, as requested by the State and agreed by the IDOC and the auditor. The State reserves the right to award multiple contracts resulting from this RFP in order to ensure all facilities are audited. In determining its cost proposal, the respondents should anticipate that if awarded a contract resulting from this RFP, it may be asked to audit anywhere from one to all of the facilities to which it is proposing a cost proposal. Therefore, the respondent should not expect that it will be asked to audit every IDOC facility.

Respondents have the option to bid on one or more of the following categories:

1. Adult facilities
2. Juvenile facilities

In Attachment C, Cost Proposal, the Respondent must submit pricing for all listed facilities in each category for which it is bidding in order for its proposal to be deemed responsive. If the Respondent chooses not to bid on one of the categories, please clearly write "NO BID" on the respective cost worksheet.

The proposed cost shall be inclusive of all costs in providing the service, including meals, lodging, transportation, and materials.

The following are the baseline costs, per category:

Adult Facilities: \$114,400

Juvenile Facilities: \$30,000

Some Correctional facilities have more housing units than others. Generally, the IDOC considers a housing unit as a unit that has separate security doors and separate dedicated staff from other units. The following charts lists the number of housing units in each facility based on this criterion. The IDOC has added to the baseline an additional cost charged for each additional unit over 10 units as listed.

The baseline for each facility is \$6,000 per facility plus, per facility, an additional \$100 cost for all the units in the facility over 10 units. The following charts shows the total units in each IDOC facility. Applying this formula, the baseline cost of the Branchville Correctional Facility would be \$6,000. Note: there is no additional cost because there are not more than 10 units listed. In contrast, The Miami Correctional Facility would be \$6,600 ( $\$6,000 + (6 \text{ units over } 10) \times \$100$ ). All cost must be stated as the cost per facility. The cost so computed is the baseline for each facility.

**ADULT FACILITIES**

Facility Name	Number of Units	Baseline Cost
Branchville Correctional Facility	7	\$ 6,000.00
Chain O'Lakes Correctional Facility	1	\$ 6,000.00
Correctional Industry Facility	7	\$ 6,000.00
Edinburgh Correctional Facility	4	\$ 6,000.00
Henryville Correctional Facility	1	\$ 6,000.00
Indiana State Prison	15	\$ 6,500.00
Indiana Women's Prison	8	\$ 6,000.00
Indianapolis Re-Entry Education (IREF)	10	\$ 6,000.00
Madison Correctional Facility	10	\$ 6,000.00
Miami Correctional Facility	16	\$ 6,600.00
Pendleton Correctional Facility	15	\$ 6,500.00
Plainfield Correctional Facility	19	\$ 6,900.00
Putnamville Correctional Facility	19	\$ 6,900.00
Reception Diagnostic Center-Men	2	\$ 6,000.00
Rockville Correctional Facility	6	\$ 6,000.00
South Bend Work Release	1	\$ 6,000.00
Wabash Valley Correctional Facility	12	\$ 6,200.00
Westville Correctional Facility	38	\$ 8,800.00

**Total Baseline Cost \$ 114,400.00**

**JUVENILE FACILITIES**

Camp Summit Juvenile Facility	1	\$ 6,000.00
Logansport Juvenile Intake Unit	1	\$ 6,000.00
Logansport Juvenile Treatment	2	\$ 6,000.00
Madison Juvenile Facility	1	\$ 6,000.00
Pendleton Juvenile Correctional Facility	5	\$ 6,000.00

**Total Baseline Cost \$ 30,000.00**

Upon completing Attachment C, each respondent will have calculated a “Total Bid Amount” for each category it submits a response. The Total Bid Amount(s) will be compared to the aforementioned baseline costs to determine the respondent’s cost proposal score for each category. For further details on cost proposal scoring, please see Section 3.2.

**When entering the Total Bid Amount on the Minority and Women’s Business Enterprises Participation Plan Form(s) (Attachment A), please use your Total Bid Amount entered for the corresponding category in the Cost Proposal (Attachment C).**

**Cost Assumptions, Conditions and Constraints**

The Respondent should list and describe as part of its Cost Proposal any special cost assumptions, conditions, and/or constraints relative to, or which impact, the prices presented on the Cost Proposal. It is of particular importance to describe any assumptions made by the Respondent in the development of the Respondent's Technical Proposal that have a material impact on price. It is in the best interest of the Respondent to make explicit the assumptions, conditions, and/or constraints that underlie the values presented on the Cost Schedules. Assumptions, conditions or constraints that conflict with the RFP requirements are not acceptable.

**SECTION THREE  
PROPOSAL EVALUATION****3.1 PROPOSAL EVALUATION PROCEDURE**

The State has selected a group of personnel to act as a proposal evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating proposals with regard to compliance with RFP requirements. All evaluation personnel will use the evaluation criteria stated in Section 3.2. The Commissioner of IDOA or their designee will, in the exercise of their sole discretion, determine which proposals offer the best means of servicing the interests of the State. The exercise of this discretion will be final.

The procedure for evaluating the proposals against the evaluation criteria will be as follows:

- 3.1.1 Each proposal will be evaluated for adherence to requirements on a pass/fail basis. Proposals that are incomplete or otherwise do not conform to proposal submission requirements may be eliminated from consideration.
- 3.1.2 Each proposal will be evaluated on the basis of the categories included in Section 3.2. A point score has been established for each category.
- 3.1.3 If technical proposals are close to equal, greater weight may be given to price.
- 3.1.4 Based on the results of this evaluation, the qualifying proposal determined to be the most advantageous to the State, taking into account all of the evaluation factors, may be selected by IDOA and Indiana Department of Correction for further action, such as contract negotiations. If, however, IDOA and Indiana Department of Correction decide that no proposal is sufficiently advantageous to the State, the State may take whatever further action is deemed necessary to fulfill its needs. If, for any reason, a proposal is selected and it is not possible to consummate a contract with the Respondent, IDOA may begin contract preparation with the next qualified Respondent or determine that no such alternate proposal exists.



### 3.2 EVALUATION CRITERIA

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of the RFP in a cost-effective manner. The State understands that some auditors may be certified or have the expertise to audit only adult facilities and some may be certified to audit only juvenile facilities; accordingly, the State will accept proposals to audit only the adult facilities, to audit only the juvenile facilities, or to audit both the juvenile and adult facilities.

In the evaluation process, the State will evaluate *like against like*, that is, proposals to audit only adult facilities will be evaluated against proposals to audit only adult facilities; and proposals to audit only juvenile facilities will be evaluated against proposals to audit only juvenile facilities; etc.

The baseline will be used only for like facilities (Example: A respondent proposes to audit only adult facilities and proposes a cost for each adult facility. In this case, the baseline for adult facilities will be used, and not the baseline for both adult and juvenile facilities).

Each of the evaluation criteria categories is described below with a brief explanation of the basis for evaluation in that category. The points associated with each category are indicated following the category name (total maximum points = 107). Negative points may be assigned in the cost score. Additionally, there is an opportunity for a bonus of five points if certain criteria are met. For further information, please reference Section 3.2.3 below. If any one or more of the listed criteria on which the responses to this RFP will be evaluated are found to be inconsistent or incompatible with applicable federal laws, regulations or policies, the specific criterion or criteria will be disregarded and the responses will be evaluated and scored without taking into account such criterion or criteria.

#### ***Summary of Evaluation Criteria:***

Criteria	Points
1. Adherence to Mandatory Requirements	Pass/Fail
2. Management Assessment/Quality (Business and Technical Proposal)	50 points
3. Cost (Cost Proposal)	-40 to +40 available points (5 bonus points are available if certain criteria is met)
6. Minority Business Enterprise Subcontractor Commitment	5 ( 1 bonus point is available, see Section 3.2.6)
7. Women Business Enterprise Subcontractor	5 ( 1 bonus point is available, see Section

Commitment	3.2.6)
<b>Total</b>	<b>100 (107 if bonus awarded)</b>

All proposals will be evaluated using the following approach.

### Step 1

In this step proposals will be evaluated only against Criteria 1 to ensure that they adhere to Mandatory Requirements. Any proposals not meeting the Mandatory Requirements will be disqualified.

### Step 2

The proposals that meet the Mandatory Requirements will then be scored based on Criteria 2 and 3 ONLY. This scoring will have a maximum possible score of 90 points with a potential of 5 bonus points if certain criteria are met. All proposals will be ranked on the basis of their combined scores for Criteria 2 and 3 ONLY. This ranking will be used to create a “short list”. Any proposal not making the “short list” will not be considered for any further evaluation.

Step 2 may include one or more rounds of proposal discussions, oral presentations, clarifications, demonstrations, etc focused on cost and other proposal elements. Step 2 may include a second “short list”.

### Step 3

The short-listed proposals will then be evaluated based on all the entire evaluation criteria outlined in the table above.

If the State conducts additional rounds of discussions and a BAFO round which lead to changes in either the technical or cost proposal for the short listed Respondents, their scores will be recomputed.

The section below describes the different evaluation criteria.

- 3.2.1 Adherence to Requirements – Pass/Fail  
Respondents passing this category move to Phase 2 and proposal is evaluated for Management Assessment/Quality and Price.
- 3.2.2 Management Assessment/Quality – **50** available points
- 3.2.3 Price – **40** points available

Price will be measured against the State’s baseline costs for this scope of work.

The cost that the State is currently paying or its best estimate will constitute the baseline cost. Cost scoring points will be assigned as follows:

- Respondents who meet the State's current baseline cost will receive zero (0) cost points.
- Respondents who propose a decrease to the State's current costs will receive positive points at the same rate as bid increasing cost.
- Respondents who propose an increase to the State's current cost will receive negative points at the same rate as bid lowering cost.
- Respondents who propose a 10% decrease to the State's current baseline cost will receive all of the available cost points.
- If multiple Respondents decrease costs below 10% of the current baseline, an additional 5 points will be added to the Respondent proposing the lowest cost to the State.

3.2.4 Minority (5 points) & Women's Business (5 points) Subcontractor Commitment - (10 points).

The following formula will be used to determine points to be awarded based on the MBE and WBE goals listed in Section 1.20 of this RFP. Scoring is conducted based on an assigned 10-point, plus possible 2 bonus-points, scale (MBE: Possible 5 points + 1 bonus point, WBE: Possible 5 points + 1 bonus Point). Points are assigned for respective MBE participation and WBE participation based upon the BAFO meeting or exceeding the established goals.

If the respondent's commitment percentage is less than the established MBE or WBE goal, the maximum points achieved will be awarded according to the following schedule:

%	1%	2%	3%	4%	5%	6%	7%	8%
Pts.	.625	1.25	1.875	2.5	3.125	3.75	4.375	5.0

*NOTE: Fractional percentages will be rounded up or down to the nearest whole percentage. (e.g. 7.49% will be rounded down to 7% = 4.375 pts., 7.50% will be rounded up to 8% = 5.00 pts.)*

If the respondent's commitment percentage is rounded down to 0% for MBE or WBE participation the respondent will receive 0 points.

If the respondent's commitment percentage is 0% for MBE or WBE participation, a deduction of 1 point will be discounted on the respective MBE or WBE score.

The respondent with the greatest applicable CUF participation which exceeds the stated goal for the respective MBE or WBE category will be awarded 6 points (5

points plus 1 bonus point). In cases where there is a tie for the greatest applicable CUF participation and both firms exceed the goal for the respective MBE/WBE category both firms will receive 6 points.

### 3.2.5 Qualified State Agency Preference Scoring

When applicable, pursuant to Indiana Code 5-22-13, a qualified state agency submitting a response to this RFP will be awarded preference points for Minority and Women's Enterprise equal the Respondent awarded the highest combined points awarded for such preferences in the scoring of this RFP.

The Commissioner of IDOA or their designee will, in the exercise of their sole discretion, determine which proposal(s) offer the best means of servicing the interests of the State. The exercise of this discretion will be final.